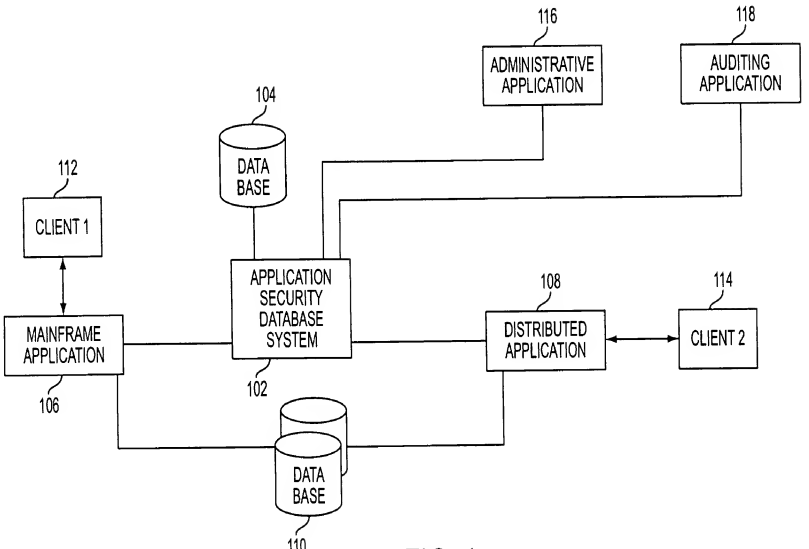

FIG. 1

20010209.0200102

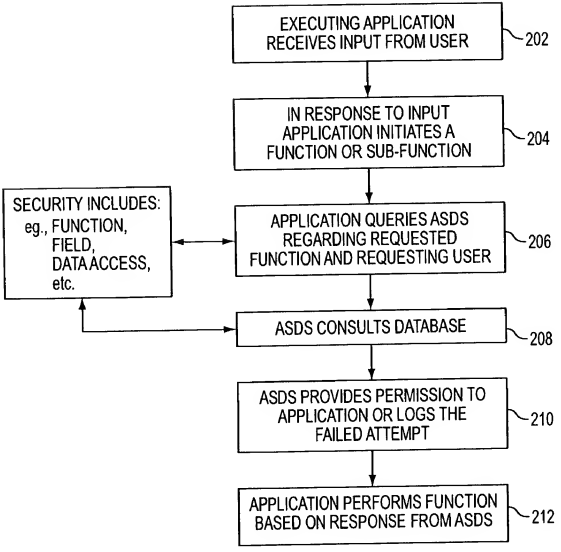
EXECUTING APPLICATION RECEIVES INPUT FROM USER
202
IN RESPONSE TO INPUT APPLICATION INITIATES A FUNCTION OR SUB-FUNCTION
204
SECURITY INCLUDES: eg., FUNCTION, FIELD, DATA ACCESS, etc.
APPLICATION QUERIES ASDS REGARDING REQUESTED FUNCTION AND REQUESTING USER
206
ASDS CONSULTS DATABASE
208
ASDS PROVIDES PERMISSION TO APPLICATION OR LOGS THE FAILED ATTEMPT
210
APPLICATION PERFORMS FUNCTION BASED ON RESPONSE FROM ASDS
212

FIG. 2

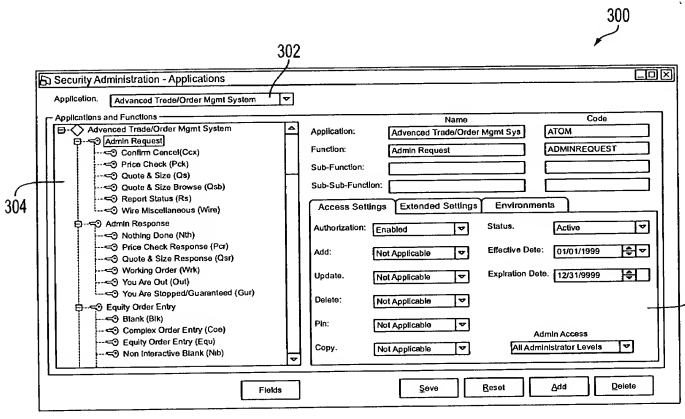
300
302
Security Administration - Applications
Application.
Advanced Trade/Order Mgmt System
Applications and Functions
Advanced Trade/Order Mgmt System
Admin Request
Confirm Cancel(Ccx)
Price Check (Pck)
Quote & Size (Qs)
Quote & Size Browse (Qsb)
Report Status (Rs)
Wire Miscellaneous (Wire)
Admin Response
Nothing Done (Ntn)
Price Check Response (Pcr)
Quote & Size Response (Qsr)
Working Order (Wrk)
You Are Out (Out)
You Are Stopped/Guaranteed (Gur)
Equity Order Entry
Blank (Blk)
Complex Order Entry (Coe)
Equity Order Entry (Equ)
Non Interactive Blank (Nb)
304
Name
Code
Application:
Advanced Trade/Order Mgmt Sys
ATOM
Function:
Admin Request
ADMINREQUEST
Sub-Function:
Sub-Sub-Function:
Access Settings
Extended Settings
Environments
Authorization:
Enabled
Status.
Active
Add:
Not Applicable
Effective Date:
01/01/1999
Update.
Not Applicable
Expiration Date.
12/31/9999
Delete:
Not Applicable
Pin:
Not Applicable
Admin Access
Copy.
Not Applicable
All Administrator Levels
306
Fields
Save
Reset
Add
Delete

FIG. 3

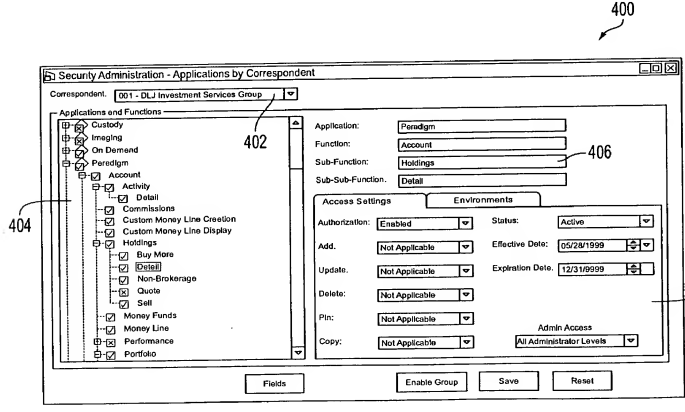
400
Security Administration - Applications by Correspondent
Correspondent.
001 - DLJ Investment Services Group
Applications and Functions
Custody
Imaging
On Demand
Paradigm
Account
Activity
Detail
Commissions
Custom Money Line Creation
Custom Money Line Display
Holdings
Buy More
Detail
Non-Brokerage
Quote
Sell
Money Funds
Money Line
Performance
Portfolio
402
404
Application:
Paradigm
Function:
Account
Sub-Function:
Holdings
406
Sub-Sub-Function.
Detail
Access Settings
Environments
Authorization:
Enabled
Status:
Active
Add.
Not Applicable
Effective Date:
05/28/1999
Update.
Not Applicable
Expiration Date.
12/31/9999
Delete:
Not Applicable
Pin:
Not Applicable
Admin Access
Copy:
Not Applicable
All Administrator Levels
408
Fields
Enable Group
Save
Reset

FIG. 4

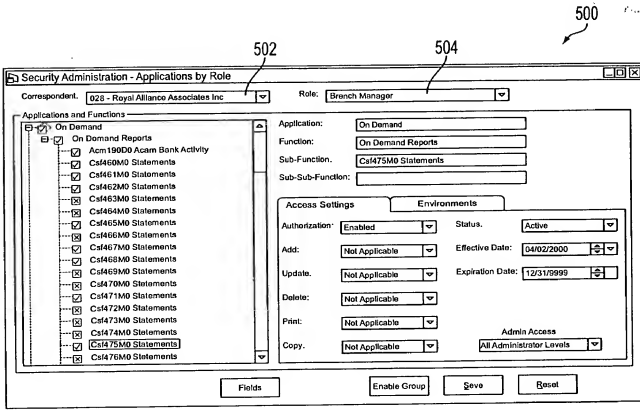
500
502
504
Security Administration - Applications by Role
Correspondent.
028 - Royal Alliance Associates Inc
Role:
Branch Manager
Applications and Functions
On Demand
On Demand Reports
Acm190D0 Acam Bank Activity
Csf460M0 Statements
Csf461M0 Statements
Csf462M0 Statements
Csf463M0 Statements
Csf464M0 Statements
Csf465M0 Statements
Csf466M0 Statements
Csf467M0 Statements
Csf468M0 Statements
Csf469M0 Statements
Csf470M0 Statements
Csf471M0 Statements
Csf472M0 Statements
Csf473M0 Statements
Csf474M0 Statements
Csf475M0 Statements
Csf476M0 Statements
Application:
On Demand
Function:
On Demand Reports
Sub-Function.
Csf475M0 Statements
Sub-Sub-Function:
Access Settings
Environments
Authorization:
Enabled
Status.
Active
Add:
Not Applicable
Effective Date:
04/02/2000
Update.
Not Applicable
Expiration Date:
12/31/9999
Delete:
Not Applicable
Print:
Not Applicable
Admin Access
Copy.
Not Applicable
All Administrator Levels
Fields
Enable Group
Save
Reset

FIG. 5

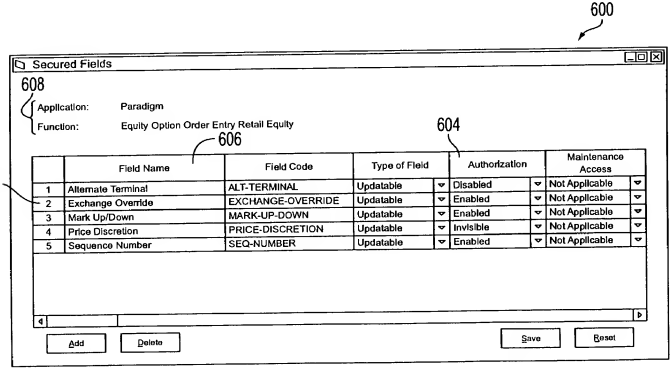
600
Secured Fields
608
Application:
Paradigm
Function:
Equity Option Order Entry Retail Equity
606
604
602
Field Name
Field Code
Type of Field
Authorization
Maintenance Access
1 Alternate Terminal ALT-TERMINAL Updatable Disabled Not Applicable
2 Exchange Override EXCHANGE-OVERRIDE Updatable Enabled Not Applicable
3 Mark Up/Down MARK-UP-DOWN Updatable Enabled Not Applicable
4 Price Discretion PRICE-DISCRETION Updatable Invisible Not Applicable
5 Sequence Number SEQ-NUMBER Updatable Enabled Not Applicable
Add
Delete
Save
Reset

FIG. 6

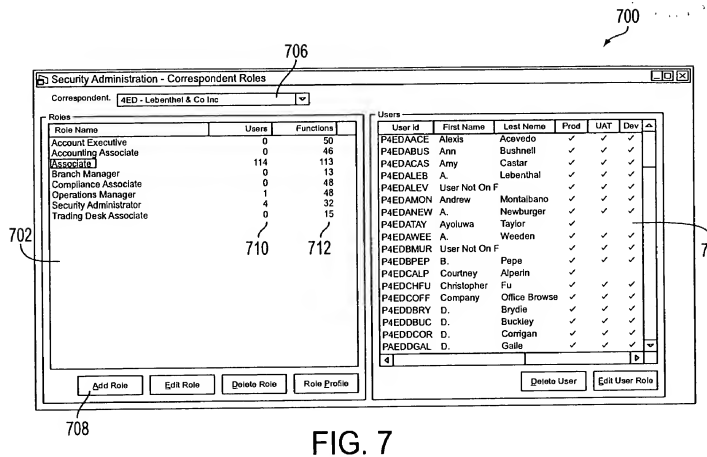
700
706
Security Administration - Correspondent Roles
Correspondent: 4ED - Lebenthel & Co Inc
Roles
Role Name | Users | Functions
Account Executive 0 50
Accounting Associate 0 46
Associate 114 113
Branch Manager 0 13
Compliance Associate 0 48
Operations Manager 1 48
Security Administrator 4 32
Trading Desk Associate 0 15
702
710
712
Users
User Id | First Name | Last Name | Prod | UAT | Dev
P4EDAACE Alexis Acevedo
P4EDABUS Ann Bushnell
P4EDACAS Amy Castar
P4EDALEB A. Lebenthal
P4EDALEV User Not On F
P4EDAMON Andrew Montalbano
P4EDANEW A. Newburger
P4EDATAY Ayoluwa Taylor
P4EDAWEE A. Weeden
P4EDBMUR User Not On F
P4EDBPEP B. Pepe
P4EDCALP Courtney Alperin
P4EDCHFU Christopher Fu
P4EDCOFF Company Office Browse
P4EDDBRY D. Brydie
P4EDDBUC D. Buckley
P4EDDCOR D. Corrigan
P4EDDGAL D. Galle
704
Add Role
Edit Role
Delete Role
Role Profile
Delete User
Edit User Role
708

FIG. 7

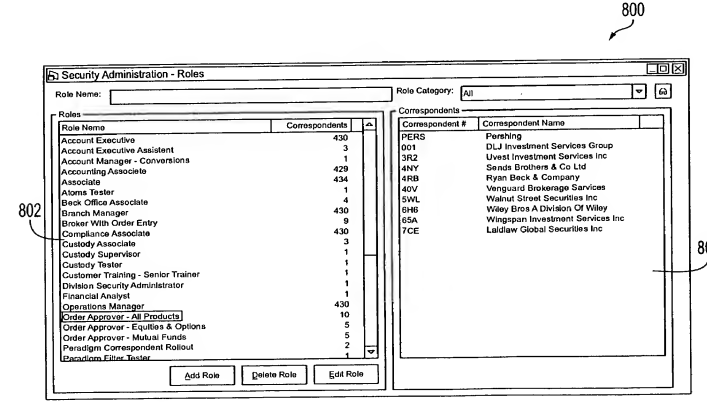
800
Security Administration - Roles
Role Neme:
Role Category: All
Roles
Role Neme | Correspondents
Account Executive 430
Account Executive Assistent 3
Account Manager - Conversions 1
Accounting Associate 429
Associate 434
Atoms Tester 1
Beck Office Associate 4
Branch Manager 430
Broker With Order Entry 9
Compliance Associate 430
Custody Associate 3
Custody Supervisor 1
Custody Tester 1
Customer Training - Senior Trainer 1
Division Security Administrator 1
Financial Analyst 1
Operations Manager 430
Order Approver - All Products 10
Order Approver - Equities & Options 5
Order Approver - Mutual Funds 5
Peradigm Correspondent Rollout 2
Peradigm Filter Tester 1
802
Correspondents
Correspondent # | Correspondent Name
PERS Pershing
001 DLJ Investment Services Group
3R2 Uvest Investment Services Inc
4NY Sands Brothers & Co Ltd
4RB Ryan Beck & Company
40V Venguard Brokerage Services
5WL Walnut Street Securities Inc
6H6 Wiley Bros A Division Of Wiley
65A Wingspan Investment Services Inc
7CE Laidlaw Global Securities Inc
804
Add Role
Delete Role
Edit Role

FIG. 8

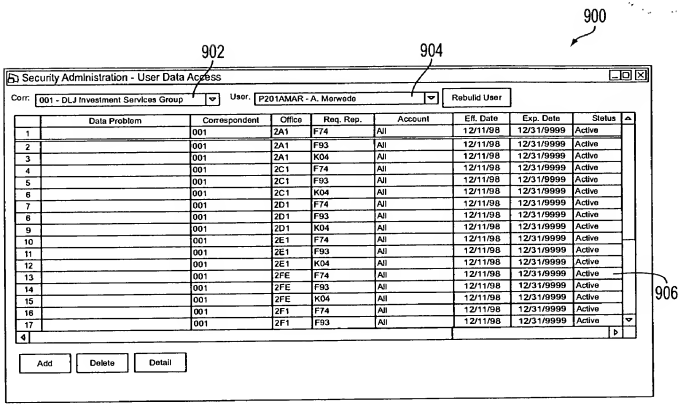
900
902
904
Security Administration - User Data Access
Corr: 001 - DLJ Investment Services Group
User: P201AMAR - A. Marwede
Rebuild User
Data Problem
Correspondent
Office
Req. Rep.
Account
Eff. Date
Exp. Date
Status
1 001 2A1 F74 All 12/11/98 12/31/9999 Active
2 001 2A1 F93 All 12/11/98 12/31/9999 Active
3 001 2A1 K04 All 12/11/98 12/31/9999 Active
4 001 2C1 F74 All 12/11/98 12/31/9999 Active
5 001 2C1 F93 All 12/11/98 12/31/9999 Active
6 001 2C1 K04 All 12/11/98 12/31/9999 Active
7 001 2D1 F74 All 12/11/98 12/31/9999 Active
8 001 2D1 F93 All 12/11/98 12/31/9999 Active
9 001 2D1 K04 All 12/11/98 12/31/9999 Active
10 001 2E1 F74 All 12/11/98 12/31/9999 Active
11 001 2E1 F93 All 12/11/98 12/31/9999 Active
12 001 2E1 K04 All 12/11/98 12/31/9999 Active
13 001 2FE F74 All 12/11/98 12/31/9999 Active
14 001 2FE F93 All 12/11/98 12/31/9999 Active
15 001 2FE K04 All 12/11/98 12/31/9999 Active
16 001 2F1 F74 All 12/11/98 12/31/9999 Active
17 001 2F1 F93 All 12/11/98 12/31/9999 Active
906
Add
Delete
Detail

FIG. 9

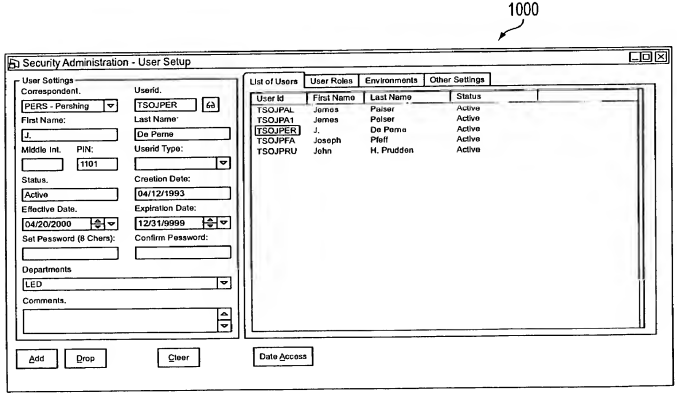
1000
Security Administration - User Setup
User Settings
Correspondent.
PERS - Pershing
Userid.
TSOJPER
First Name:
J.
Last Name:
De Perne
Middle Int.
PIN:
1101
Userid Type:
Status.
Active
Creation Date:
04/12/1993
Effective Date.
04/20/2000
Expiration Date:
12/31/9999
Set Password (8 Chars):
Confirm Password:
Departments
LED
Comments.
List of Users
User Roles
Environments
Other Settings
User Id
First Name
Last Name
Status
TSOJPAL James Palser Active
TSOJPA1 James Palser Active
TSOJPER J. De Perne Active
TSOJPFA Joseph Pfeff Active
TSOJPRU John H. Prudden Active
Add
Drop
Clear
Date Access

FIG. 10

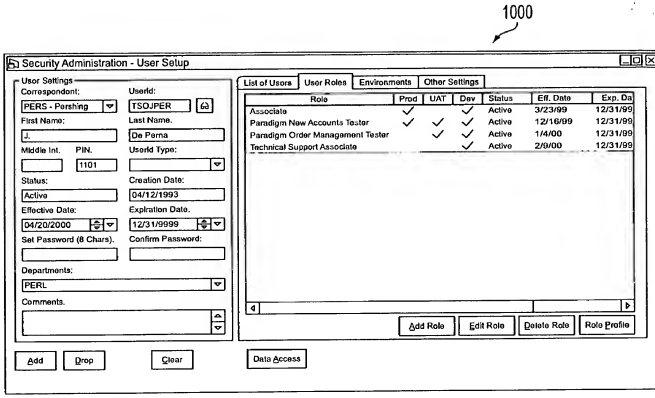

FIG. 11

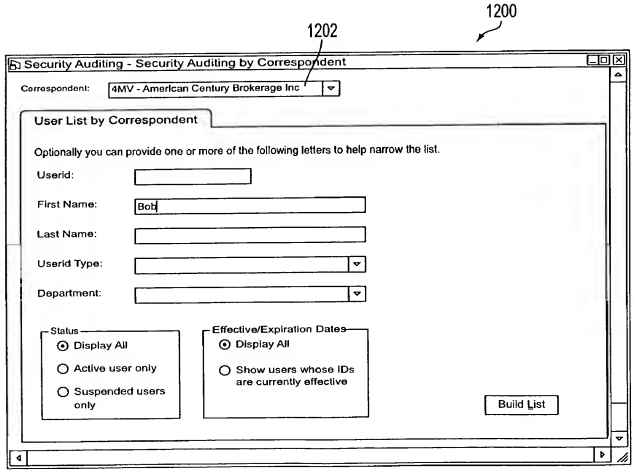

FIG. 12A

1250

Security Auditing - Users by Correspondent

Correspondent: 4MV - American Century Brokerage Inc

	Usend	First Name	Middle Initial	Last Name	Effective Date	Expiration Date	Status	Usend Type	Department
1	P4MVBLAY	Bob		Layburn	6/24/99	12/31/9999	Active	User	PERD4MV
2	P4MVBOEF	Bob		Oefinger	10/20/99	12/31/9999	Active	User	PERD4MV
3	P4MVBOE2	Bob		Oefinger	10/20/99	12/31/9999	Active	User	PERD4MV

Print

FIG. 12B

1300

Security Change History

Provide one or more of the following filters to help narrow the list.

Userid:

Administrator ID:

Correspondent:

Date

From: 04/10/2000

To: 04/20/2000

Time

00.00.00

23.59.59

Additional Filters

Reset Filters

	Date	Time	Change Category	Change Type	Userid	User Name	Correspondent	Administra
1	04/20/2000	18:23:42	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSSS
2	04/20/2000	18:23:21	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSSS
3	04/20/2000	18:16:18	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSSS
4	04/18/2000	10:41:44	User Roles	Delete	PARATS60	Top Secret T. Test	PERS	PARASEC
5	04/18/2000	10:41:37	User Roles	Update	PARATS60	Top Secret T. Test	PERS	PARASEC
6	04/18/2000	10:41:27	User Roles	Add	PARATS60	Top Secret T. Test	PERS	PARASEC
7	04/18/2000	10:33:09	User Roles	Delete	PARASEC4	Paradigm Security Admin	PERS	PARASEC
8	04/18/2000	10:31:44	User Roles	Add	PARASEC4	Paradigm Security Admin	PERS	PARASEC
9	04/13/2000	15:24:34	Applications By Role	Update			PERS	TSOTSSS
10	04/13/2000	15:19:10	Applications By Role	Add			PERS	TSOTSSS
11	04/13/2000	15:18:58	Applications By Role	Add			PERS	TSOTSSS
12	04/13/2000	15:18:38	Applications By Correspondent	Add			PERS	TSOTSSS

Details

Fields

FIG. 13